

ATTACHMENT 1SUMMARY CHART OF ENTRIES ON SEC PRIVILEGE LOGS RELATING TO HINMAN SPEECHUPDATED ON JUNE 16, 2022

Draft <sup>i</sup>	Document Submitted <i>In Camera</i>	Date	Draft/Comments By <sup>ii</sup>	Description
1	K	5/3/2018	Fredrickson	Email from Fredrickson to Hinman, Seaman, cc Ingram, Starr, attaching thoughts on issues to be addressed in Speech.
2	A	5/21/2018	Fredrickson	Email from Fredrickson to Seaman, attaching “first, rough draft” of Speech.
3	L	5/22/2018	Hinman	Email from Hinman to Fredrickson, Seaman, attaching comments on Fredrickson’s May 21 draft.
4	M	5/24/2018	Fredrickson	Email from Fredrickson to Szczepanik, cc Seaman, attaching draft Speech.
5	B	5/25/2018	Szczepanik	Email from Szczepanik to Fredrickson, cc Seaman, attaching comments on Fredrickson’s May 24 draft.
6	N	5/25/2018	Fredrickson	Email from Fredrickson to Seaman, cc Szczepanik, attaching draft Speech.
7		5/29/2018	Seaman	Email from Seaman to Fredrickson, attaching comments on Fredrickson’s May 25 draft.
8		5/29/2018	Fredrickson	Email from Fredrickson to Hinman, cc Szczepanik, Seaman, attaching draft of Speech.

9	<b>O</b>	5/29/2018	Szczepanik	Email from Szczepanik to Fredrickson, Hinman, cc Seaman, attaching comments on Fredrickson's May 29 draft.
10	<b>C</b>	5/30/2018	<b>Hinman</b>	<b>Email from Hinman to Fredrickson, Szczepanik, Seaman, attaching comments on Fredrickson's May 29 draft.</b>
11		5/31/2018	Fredrickson	Email from Fredrickson to Szczepanik, Seaman, attaching comments on top of Hinman's May 30 comments.
12		5/31/2018	Szczepanik	Email from Szczepanik to Fredrickson, Seaman, attaching comments on top of Fredrickson's May 31 comments.
13		5/31/2018	Seaman	Email from Seaman to Ingram, Starr, cc Hinman, attaching draft Speech.
14		5/31/2018	Hinman	Email from Hinman to Fredrickson, cc Seaman, Ingram, Starr, attaching additional comments on top of Szczepanik's May 31 comments.
15		6/1/2018	Hinman	Email from Hinman to Seaman, attaching additional comments on top of Hinman's May 31 comments.
16		6/1/2018	Seaman	Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching new draft of Speech and redline.
17		6/1/2018	Hinman	Email from Hinman to Seaman, Fredrickson, Szczepanik, attaching comments on Seaman's June 1 draft.
18		6/3/2018	Szczepanik	Email from Szczepanik to Hinman, Seaman, Fredrickson, attaching comments on top of Hinman's June 1 comments.
19		6/4/2018	Fredrickson	Email from Fredrickson to Szczepanik, Hinman, Seaman, attaching comments on top of Szczepanik's June 3 comments.

20		6/4/2018	Seaman	Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching new draft of Speech and redline.
21		6/4/2018	Seaman	Email from Seaman to Fredrickson, attaching draft Speech and distribution list for other divisions/offices.
22		6/4/2018	Fredrickson	Email from Fredrickson to Seaman, attaching comments on Seaman's June 4 draft and on distribution list for other divisions/offices.
23		6/4/2018	Seaman	Email from Seaman to Hinman, cc Fredrickson, attaching draft Speech along with distribution list for other divisions/offices.
24		6/4/2018	Hinman	Email from Hinman to: Moskowitz, Memon, Fox (Office of the Chair); Avakian, Peikin, Karp (Enforcement); Stebbins, Jarsulic, Morris (OGC); Blass, McHugh, Bartels (IM); Redfearn, Goldsholle, Seidel (TM), attaching draft Speech and requesting comments.
25*		6/4/2018		Email from Seaman to Corp Fin staff (Parratt, Ingram, Starr, Henseler, Long, Hardiman), cc Hinman, attaching June 4 draft circulated to other divisions/offices by Hinman.
26*		6/4/2018		Email from Fredrickson to Ingram, forwarding Hinman's June 4 email to divisions/offices.
27*		6/5/2018		Email from Seaman to Corp Fin staff (Davis, Garrison), forwarding Hinman's June 4 email to divisions/offices.
28*	Entry 9	6/5/2018		<b>Email from Memon (Office of Chair) to Chair Clayton, cc Moskowitz (Office of Chair), forwarding Hinman's June 4 email to divisions/offices.</b>
29	D	6/6/2018	Greiner	<b>Email from Greiner (TM) to Fredrickson, Szczepanik, Seaman, cc Redfearn (TM Director) and TM staff (Seidel, Goldsholle,</b>

				<b>Maitra, Bergoffen, Orr), attaching TM's comments on June 4 draft.</b>
30*		6/7/2018		Email from Seaman to Hinman, forwarding TM's comments on June 4 draft.
31		6/7/2018	Fredrickson	Email from Fredrickson to Szczepanik, Seaman, attaching comments in response to TM's June 7 comments.
32		6/7/2018	McHugh	Email from McHugh to Fredrickson, cc Szczepanik, Seaman, McGinnis (IM), Bartels (IM), attaching IM's comments on June 4 draft.
<b>33</b>	<b>E</b>	<b>6/7/2018</b>	<b>McHugh</b>	<b>Email from McHugh to Fredrickson, cc Szczepanik, Seaman, McGinnis (IM), Bartels (IM), attaching amended set of IM's comments on June 4 draft.</b>
34*		6/8/2018		Email from Seaman to Hinman, forwarding IM's comments on June 4 draft.
35	<b>F</b>	<b>6/8/2018</b>	<b>Jarsulic</b>	<b>Email from Jarsulic (OGC) to Seaman, Lisitza, Cappoli (OGC), cc Hinman, Fredrickson, Szczepanik, attaching OGC's comments on June 4 draft.</b>
36	<b>G</b>	<b>6/8/2018</b>	<b>Fredrickson</b>	<b>Email from Fredrickson to Hinman, Szczepanik, Seaman, attaching revised draft incorporating comments from OGC, TM, and IM.</b>
37	<b>H</b>	<b>6/11/2018</b>	<b>Hinman</b>	<b>Email from Hinman to Szczepanik, Seaman, Fredrickson, attaching comments on Fredrickson's June 8 draft.</b>
38*		6/11/2018		Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching Hinman's June 11 comments.

39		6/11/2018	Fredrickson	Email from Fredrickson to Szczepanik, Seaman, attaching comments on top of Hinman's June 11 comments.
40		6/11/2018	Hinman	Email from Hinman to Fredrickson, Seaman, attaching additional comments on top of Fredrickson's June 11 comments.
41*		6/11/2018		Email from Fredrickson to Seaman, attaching redline of Hinman's two sets of June 11 comments.
42		6/11/2018	Szczepanik	Email from Szczepanik to Seaman, attaching comments on top of Hinman's second set of June 11 comments.
43	P	6/11/2018	Seaman	<i>Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching new draft of Speech and redline.</i>
44		6/11/2018	Seaman	Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching a second new draft of Speech and redline.
45	Q	6/11/2018	Hinman	<i>Email from Hinman to: Moskowitz, Memon, Fox (Office of the Chair); Avakian, Peikin, Karp (Enforcement); Stebbins, Jarsulic, Lisitzka, Morris (OGC); Blass, McHugh, Bartels (IM); Redfearn, Goldsholle, Seidel, Greiner (TM), attaching draft Speech and requesting comments.</i>
46*		6/11/2018		Email from Fredrickson to Ingram, forwarding Hinman's June 11 email to divisions/offices.
47		6/11/2018	Fredrickson	Email from Fredrickson to Seaman, attaching comments on June 11 draft.
48*		6/12/2018		Email from Seaman to Corp Fin staff (Parratt, Davis, Brightwell, Garrison), attaching June 11 draft circulated to other divisions/offices by Hinman.

49		6/12/2018	Redfearn	Email from Redfearn (TM Director) to Hinman, Seaman, cc TM staff (Goldsholle, Seidel, Bergoffen), attaching TM's comments on June 11 draft.
50		6/12/2018	Fredrickson	Email from Fredrickson to Seaman, attaching additional comments on top of Fredrickson's June 11 comments.
51*		6/12/2018		Email from Seaman to Fredrickson, Szczepanik, forwarding TM's June 12 comments.
52		6/12/2018	McHugh	Email from McHugh (IM) to Seaman, cc Fredrickson and IM staff (Bartels, Hunter-Ceci, Haghshenas, Harke, McGinnis), attaching IM's comments on June 11 draft.
53	<b>R</b>	6/12/2018	Hinman	<i>Email from Hinman to Seaman, attaching revised draft addressing comments by TM and IM.</i>
54		6/12/2018	Seaman	Email from Seaman to Fredrickson, attaching revised draft and redline.
55*		6/12/2018		Email from Seaman to Fredrickson, resending Seaman's June 12 revised draft and redline.
56	<b>S</b>	6/12/2018	Fredrickson	<i>Email from Fredrickson to Seaman, attaching comments on Seaman's June 12 draft.</i>
57	<b>I</b>	6/12/2018	Seaman	<b>Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching revised draft and redline.</b>
58	<b>J</b>	6/12/2018	Jarsulic	<b>Email from Szczepanik to Seaman, Fredrickson, Hinman, forwarding June 12, 2018 email from Jarsulic (OGC) to Szczepanik, attaching OGC's comments on June 11 draft.</b>
59	<b>T</b>	6/13/2018	Fredrickson	<i>Email from Fredrickson to Seaman, attaching revised draft.</i>

60		6/13/2018	Seaman	Email from Seaman to Fredrickson, attaching revised draft and redline.
61		6/13/2018	Fredrickson	Email from Fredrickson to Seaman, attaching revised draft.
62		6/13/2018	Seaman	Email from Seaman to Hinman, Fredrickson, Szczepanik, attaching revised draft.
63		6/13/2018	Fredrickson	Email from Fredrickson to Seaman, Hinman, Szczepanik, attaching revised draft.
64		6/13/2018	Fredrickson	Email from Fredrickson to Seaman, attaching revised draft.

<sup>i</sup> Four of the 68 relevant entries on the SEC's privilege logs were duplicative. Attachment 1 includes the 64 non-duplicative documents reflected on the SEC's privilege logs.

An asterisk (\*) signifies Drafts that are not unique, but rather are forwards or re-attachments of other, unique drafts. For this reason, the 12 entries where Drafts are marked with an asterisk do not have an entry in the "Drafts/Comments By" column. In total, there are 52 unique drafts reflected in Attachment 1.

<sup>ii</sup> The titles in May/June 2018 of certain of the individuals listed in Attachment 1 are as follows:

1. Bill Hinman: Director, Corp Fin
2. David Fredrickson: Chief Counsel, Corp Fin
3. Valerie Szczepanik: Assistant Director in Enforcement's Cyber Unit until June 9, 2018, and then Senior Advisor for Digital Assets and Innovation and Associate Director in Corp Fin
4. Michael Seaman: Counsel to Director Hinman, Corp Fin
5. Amy Starr: Chief, Office of Capital Market Trends, Corp Fin
6. Jonathan Ingram: Deputy Chief Counsel, Corp Fin
7. Laura Jarsulic: Associate General Counsel, OGC
8. Brett Redfearn: Director, TM
9. Natasha Greiner: Assistant Chief Counsel, TM
10. Jennifer McHugh: Senior Special Counsel, IM